

# Electronic Filing System (EFS) Data

## Electronic Patent Application Submission

### USPTO Use Only

EFS ID: 15097  
Application ID: 10063692  
Title of Invention: SECRETED AND TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME  
First Named Inventor: Dan Eaton  
Domestic/Foreign Application: Domestic Application  
Filing Date: null  
Effective Receipt Date: 2002-05-08  
Submission Type: Utility Patent Filing  
Filing Type: new-utility  
Confirmation Number: 0  
Attorney Docket Number: 10466/419  
Digital Certificate Holder: cn=Paul Rauch, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US  
Certificate Message Digest: g7Q3H3F+4gxvC7hABZrm7w==  
Total Fees Authorized: \$740.0

Payment Category: CC – Credit Card  
Credit Card Number: \*\*\*\*1008  
Expiration Date: 05022004  
Card Holder Name: M HOFFMAN 10466/419  
RAM User ID: EFSPROD  
RAM Accounting Date: 2002-05-08  
RAM Sequence Number: 448777  
RAM Payment Status: RAM success  
Postal Code: 60611

# TRANSMITTAL FORM

JC474 U.S. PTO  
10/06/02 3692  
05/08/02

Electronic Version 1.0.3

Stylesheet Version: 1.0

Attorney Docket  
Number:

10466/419

Submission Type: Utility Patent  
Filing

## SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME

First Named Inventor: Dan L. Eaton

### SUBMITTED BY

Name: Dr. Paul E. Rauch  
Registration Number: 38591  
Electronic Signature Mark: Paul E. Rauch Date Signed: 20020508

*I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.*

*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

### Attached Files:

sequence-listing Sequence\_Listing\_as\_filed.txt  
declaration Declaration01.tif

|                  |                   |
|------------------|-------------------|
| declaration      | Declaration02.tif |
| declaration      | Declaration03.tif |
| declaration      | Declaration04.tif |
| declaration      | Declaration05.tif |
| declaration      | Declaration06.tif |
| declaration      | Declaration07.tif |
| declaration      | Declaration08.tif |
| declaration      | Declaration09.tif |
| declaration      | Declaration10.tif |
| declaration      | Declaration11.tif |
| declaration      | Declaration12.tif |
| bibd-transmittal | 10466419apds.xml  |
| fee-transmittal  | 10466419fee.xml   |
| specification    | 10466419.xml      |

**Attached Image File(s):**

Declaration01.tif  
Declaration02.tif  
Declaration03.tif  
Declaration04.tif  
Declaration05.tif  
Declaration06.tif  
Declaration07.tif  
Declaration08.tif  
Declaration09.tif  
Declaration10.tif  
Declaration11.tif  
Declaration12.tif

Comments:

I hereby state that the Sequence Listing contained in the specification and drawings submitted herewith and the Sequence Listing attached hereto in .txt format is identical. I further state that this submission includes no new matter. The prior application is assigned of record to Genentech, Inc. REEL/FRAME 012377/0266; Recorded: 12/06/2001

**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

Docket No

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if two or more names are listed below) of the subject matter which is claimed and for which a patent is sought on the inventive concept(s) set forth in the specification and claims attached hereto.

SECRETED AND TRANSMEMBRANE PROTEIN PEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME

the specification of which (check one)  is attached hereto or  was filed on  as Application Serial No.  and was an applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with the Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate filing date before that of the application on which priority is claimed:

**Prior Foreign Application(s):** Prior Yes

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s).

**Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)**

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material I defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior applic national or PCT international filing date of this application:

**Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications**

Application Ser. No. 54,710, filed Dec. 1, 1966, and the disclosure of the prior application is incorporated herein by reference.

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.



09157

PATENT TRADEMARK OFFICE

Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442

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 Facsimile: 312-321-4299  
 Email: [prauch@brinkshofer.com](mailto:prauch@brinkshofer.com)

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements will be knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the U.S. Code and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent attorney to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent herein will be so notified by the undersigned.

Full name of sole or first inventor

Dan L. Eaton

*Dan Eaton*

10/2/01

Date

Inventor's signature

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Full name of second joint inventor, if any

Ellen Filvaroff

Inventor's signature

*Ellen Filvaroff*

Date

10/1/01

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Full name of third joint inventor, if any

Mary E. Gerritsen

Inventor's signature

Date

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South San Francisco, CA 94080

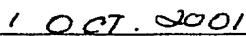
Full name of fourth joint inventor, if any

Audrey Goddard

Inventor's signature



Date



Residence

110 Congo Street, San Francisco, CA 94131

Citizenship  
CA

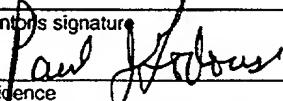
Post Office Address

1 DNA Way  
South San Francisco, CA 94080

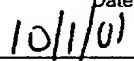
Full name of fifth joint inventor, if any

Paul J. Godowski

Inventor's signature



Date



Residence

25 Orange Court, Hillsborough, CA 94010

Citizenship  
US

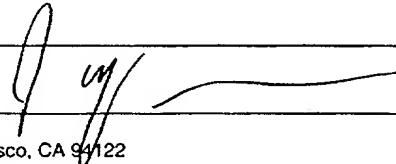
Post Office Address

1 DNA Way  
South San Francisco, CA 94080

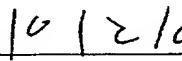
Full name of sixth joint inventor, if any

J. Christopher Grimaldi

Inventor's signature



Date



Residence

1434 36th Avenue, San Francisco, CA 94122

Citizenship  
US

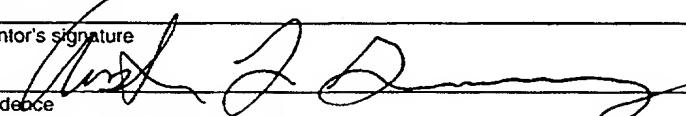
Post Office Address

1 DNA Way  
South San Francisco, CA 94080

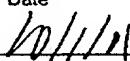
Full name of seventh joint inventor, if any

Austin L. Gurney

Inventor's signature



Date



Residence

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Citizenship  
US

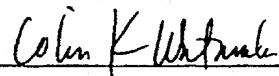
Post Office Address

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Full name of eighth joint inventor, if any

Colin K. Watanabe

Inventor's signature



Date

10-2-2001

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Full name of nineth joint inventor, if any

William I. Wood

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10/3/01

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**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if two or more names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention.

**SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE S/**

the specification of which (check one)  is attached hereto or  was filed on  as Application Serial No.  and was an International Application No.  and was filed on  as an International Application Date.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims thereto, and that I have not previously filed an application for patent or patent application for the subject matter claimed in the specification, including the claims thereto, or for any foreign application(s) for which the filing date of the application on which priority is claimed is earlier than the filing date of the application on which priority is claimed.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 35 U.S.C. § 132 and 37 CFR 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) listed below and have also identified below any foreign application for patent or inventor's certificate of priority for which the filing date before that of the application on which priority is claimed:

|                               |               |
|-------------------------------|---------------|
| Prior Foreign Application(s): | <u>Priori</u> |
|                               | <u>Yes</u>    |

|        |         |                      |
|--------|---------|----------------------|
| Number | Country | Day/Month/Year Filed |
|--------|---------|----------------------|

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s) listed below:

|   |             |
|---|-------------|
| <b>Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)</b> |             |
| Application Ser. No.  | Filing Date |

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application identified in the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information which occurred between the filing date of the prior application and the filing date of this application:

|  |             |                                      |
|--|-------------|--------------------------------------|
| <b>Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications)</b> |             |                                      |
| Application Ser. No.   | Filing Date | Status: Patented, Pending, Abandoned |

|                      |             |                                      |
|----------------------|-------------|--------------------------------------|
| Application Ser. No. | Filing Date | Status: Patented, Pending, Abandoned |
|----------------------|-------------|--------------------------------------|

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with my Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.



09157

PATENT TRADEMARK OFFICE

Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442

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I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code, and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent agent in any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent named herein will be so notified by the undersigned.

Full name of sole or first inventor

Dan L. Eaton

Inventor's signature

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Full name of second joint inventor, if any

Ellen Filvaroff

Inventor's signature

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Full name of third joint inventor, if any

Mary E. Gerritsen

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Oct 15, 2001

Full name of fourth joint inventor, if any

Audrey Goddard

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Full name of fifth joint inventor, if any

Paul J. Godowski

Inventor's signature

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Full name of sixth joint inventor, if any

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Full name of seventh joint inventor, if any

Austin L. Gurney

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Full name of eighth joint inventor, if any

Colin K. Watanabe

Inventor's signature

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Full name of ninth joint inventor, if any

William I. Wood

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**APPENDIX A**

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications

1. 60/063435 Filed 10/29/97
2. 60/064215 Filed 10/29/97
3. 60/082797 Filed 4/22/98
4. 60/083495 Filed 4/29/98
5. 60/085579 Filed 5/15/98
6. 60/087759 Filed 6/2/98
7. 60/088021 Filed 6/4/98
8. 60/088029 Filed 6/4/98
9. 60/088030 Filed 6/4/98
10. 60/088734 Filed 6/10/98
11. 60/088740 Filed 6/10/98
12. 60/088811 Filed 6/10/98
13. 60/088824 Filed 6/10/98
14. 60/088825 Filed 6/10/98
15. 60/088863 Filed 6/11/98
16. 60/089105 Filed 6/12/98
17. 60/089514 Filed 6/16/98
18. 60/089653 Filed 6/17/98
19. 60/089952 Filed 6/19/98
20. 60/090246 Filed 6/22/98
21. 60/090444 Filed 6/24/98
22. 60/090688 Filed 6/25/98
23. 60/090696 Filed 6/25/98
24. 60/090862 Filed 6/26/98
25. 60/091628 Filed 7/2/98
26. 60/096012 Filed 8/10/98
27. 60/096757 Filed 8/17/98
28. 60/096949 Filed 8/18/98
29. 60/096959 Filed 8/18/98
30. 60/097954 Filed 8/26/98
31. 60/097971 Filed 8/26/98
32. 60/097979 Filed 8/26/98
33. 60/098749 Filed 9/1/98
34. 60/099741 Filed 9/10/98
35. 60/099763 Filed 9/10/98
36. 60/099792 Filed 9/10/98
37. 60/099812 Filed 9/10/98
38. 60/099815 Filed 9/10/98
39. 60/100627 Filed 9/16/98
40. 60/100662 Filed 9/16/98
41. 60/100683 Filed 9/17/98
42. 60/100684 Filed 9/17/98
43. 60/100930 Filed 9/17/98
44. 60/101279 Filed 9/22/98

|     |           |                |
|-----|-----------|----------------|
| 46. | 60/101738 | Filed 9/24/98  |
| 47. | 60/101743 | Filed 9/24/98  |
| 48. | 60/101916 | Filed 9/24/98  |
| 49. | 60/102570 | Filed 9/30/98  |
| 50. | 60/103449 | Filed 10/6/98  |
| 51. | 60/103678 | Filed 10/8/98  |
| 52. | 60/103679 | Filed 10/8/98  |
| 53. | 60/103711 | Filed 10/8/98  |
| 54. | 60/105000 | Filed 10/20/98 |
| 55. | 60/105002 | Filed 10/20/98 |
| 56. | 60/105881 | Filed 10/27/98 |
| 57. | 60/106030 | Filed 10/28/98 |
| 58. | 60/106464 | Filed 10/30/98 |
| 59. | 60/106856 | Filed 11/3/98  |
| 60. | 60/108807 | Filed 11/17/98 |
| 61. | 60/112419 | Filed 12/15/98 |
| 62. | 60/112422 | Filed 12/15/98 |
| 63. | 60/112853 | Filed 12/16/98 |
| 64. | 60/113011 | Filed 12/16/98 |
| 65. | 60/112854 | Filed 12/16/98 |
| 66. | 60/113300 | Filed 12/22/98 |
| 67. | 60/113408 | Filed 12/22/98 |
| 68. | 60/113430 | Filed 12/23/98 |
| 69. | 60/113621 | Filed 12/23/98 |
| 70. | 60/114223 | Filed 12/30/98 |
| 71. | 60/115614 | Filed 1/12/99  |
| 72. | 60/116527 | Filed 1/20/99  |
| 73. | 60/116843 | Filed 1/22/99  |
| 74. | 60/119285 | Filed 2/9/99   |
| 75. | 60/119287 | Filed 2/9/99   |
| 76. | 60/119525 | Filed 2/10/99  |
| 77. | 60/119549 | Filed 2/10/99  |
| 78. | 60/120014 | Filed 2/11/99  |
| 79. | 60/129122 | Filed 4/13/99  |
| 80. | 60/129674 | Filed 4/16/99  |
| 81. | 60/131291 | Filed 4/27/99  |
| 82. | 60/138387 | Filed 6/9/99   |
| 83. | 60/144791 | Filed 7/20/99  |
| 84. | 60/169495 | Filed 12/7/99  |
| 85. | 60/175481 | Filed 1/11/00  |
| 86. | 60/191007 | Filed 3/21/00  |
| 87. | 60/199397 | Filed 4/25/00  |

## APPENDIX B

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications listed below.

US APPLICATIONS

|     |            |                    |
|-----|------------|--------------------|
| 1.  | 09/380139  | Filed 8/25/98      |
| 2.  | 09/311832  | Filed 5/14/99      |
| 3.  | 09/380137  | Filed 8/25/99 ABD  |
| 4.  | 09/380138  | Filed 8/25/99 ABD  |
| 5.  | 09/380142  | Filed 8/25/99 ABD  |
| 6.  | 09/397342  | Filed 9/15/99      |
| 7.  | 09/403297  | Filed 10/18/99 ABD |
| 8.  | 09/423844  | Filed 11/12/99 ABD |
| 9.  | 09/644848  | Filed 8/22/00      |
| 10. | 09/665350  | Filed 9/18/00      |
| 11. | 09/664610  | Filed 9/18/00 ABD  |
| 12. | 09/709238  | Filed 11/8/00      |
| 13. | 09/747259  | Filed 12/20/00     |
| 14. | 09/816744  | Filed 3/22/01      |
| 15. | 09/854208  | Filed 5/10/01      |
| 16. | 09/854280  | Filed 5/10/01      |
| 17. | 09/870574  | Filed 5/30/01      |
| 18. | 09/874503  | Filed 6/5/01       |
| 19. | 09/869599  | Filed 6/29/01      |
| 20. | 09/908,827 | Filed 7/18/01      |

PCT APPLICATIONS

|     |                |                |
|-----|----------------|----------------|
| 1.  | PCT/US98/19330 | Filed 9/16/98  |
| 2.  | PCT/US99/05028 | Filed 3/8/99   |
| 3.  | PCT/US99/10733 | Filed 5/14/99  |
| 4.  | PCT/US99/12252 | Filed 6/2/99   |
| 5.  | PCT/US99/20111 | Filed 9/1/99   |
| 6.  | PCT/US99/21090 | Filed 9/15/99  |
| 7.  | PCT/US99/21194 | Filed 9/15/99  |
| 8.  | PCT/US99/30720 | Filed 12/22/99 |
| 9.  | PCT/US00/04341 | Filed 2/18/00  |
| 10. | PCT/US00/04342 | Filed 2/18/00  |
| 11. | PCT/US00/04414 | Filed 2/22/00  |
| 12. | PCT/US00/05601 | Filed 3/1/00   |
| 13. | PCT/US00/08439 | Filed 3/30/00  |
| 14. | PCT/US00/14042 | Filed 5/22/00  |
| 15. | PCT/US00/15264 | Filed 6/2/00   |
| 16. | PCT/US00/23522 | Filed 8/23/00  |
| 17. | PCT/US00/23328 | Filed 8/24/00  |
| 18. | PCT/US00/30873 | Filed 11/10/00 |
| 19. | PCT/US00/32378 | Filed 12/1/00  |
| 20. | PCT/US00/34956 | Filed 12/20/00 |

|     |                |               |
|-----|----------------|---------------|
| 22. | PCT/US01/06666 | Filed 3/1/01  |
| 23. | PCT/US01/17443 | Filed 5/30/01 |
| 24. | PCT/US01/17800 | Filed 6/1/01  |
| 25. | PCT/US01/19692 | Filed 6/20/01 |
| 26. | PCT/US01/21066 | Filed 6/29/01 |
| 27. | PCT/US01/21735 | Filed 7/9/01  |

# FEE TRANSMITTAL

Electronic Version 1.1.0

Stylesheet Version: 1.0

*Patent fees are subject to annual revisions on or about October 1st of each year.*

Large Entity

**TOTAL FEES AUTHORIZED: \$ 740**

## BANK (CREDIT) CARD INFORMATION:

Credit Card Number: 1008  
Expiration Date: 20040502  
Authorized Name: M HOFFMAN 10466/419  
Billing Address: 60611

## BASIC FILING FEE

| Fee Description    | Fee Code | Fee Paid |
|--------------------|----------|----------|
| Utility Filing Fee | 101      | \$ 740   |

Subtotal For Basic Filing Fee: \$ 740

## EXTRA CLAIM FEES

|                       | Fee Code | Fee   | Extra Claims | Fee Paid |
|-----------------------|----------|-------|--------------|----------|
| Total Claims: 20      | 103      | \$ 18 | 0            | \$ 0     |
| Independent Claims: 3 | 102      | \$ 84 | 0            | \$ 0     |

Subtotal For Extra Claims Fees: \$ 0